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LE-1 Legal Matters

Command POC: N00J2 DSN: 678-6321

Inspection Methodology: Self-Assessment (Respond fully after each of the following questions. To support assessment response, attach pertinent information, data, or work samples.)

Overall Assessment Questions/Tasks:

1. Why perform this function, program, or process?
 - a. If required by higher authority, cite references and describe why?
 - b. What is value to the organization and the Navy?
 - c. What would be the ramifications of its elimination?
 - d. Please identify products and/or services?
 - e. For each product and service, identify customer(s)?
2. How well are you performing?
 - a. How do you know, i.e., what measures of effectiveness do you use to determine level of product and/or service success?
 - b. Provide metrics, if available and applicable, for most recent time period.
 - c. What other formal feedback mechanisms are in place? What are the results?
 - d. Do you seek and/or receive legal guidance from the assigned area Trial Service Office, chain of command Staff Judge Advocate, or Navy Region Staff Judge Advocate? If so, is the guidance effective?
3. Are resources adequate (funding, manning, YN/LN, etc.)?
 - a. If not, specifically what do you require?
 - b. What is the impact of inadequate resources?

Specific Inspector Questions/Tasks:

1. How do you determine trends in the following and provide the metrics, if applicable, for the last two years:
 - a. CO's Non-judicial Punishment
 - b. Courts-martial
 - c. Congressional Inquiries
 - d. JAGMAN Investigations
 - e. Military disciplinary actions
 - f. Ethics/Standards of Conduct
 - g. Civilian personnel actions
 - h. Complaints of wrong
 - i. Freedom of Information Act (FOIA)/Privacy Act (PA)
 - j. Administrative separations
2. How do you know that military and civilian personnel are familiar with grievance procedures and the availability of legal assistance?

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LE-2 Military Awards/Recognition

Command POC: N01A DSN: 678-4003

Inspection Methodology: Self-Assessment (Respond fully after each of the following questions. To support assessment response, attach pertinent information, data, or work samples.)

Overall Assessment Questions/Tasks:

1. Why perform this function, program, or process?
 - a. If required by higher authority, cite references and describe why?
 - b. What is value to the organization and the Navy?
 - c. What would be the ramifications of its elimination?
 - d. Please identify products and/or services?
 - e. For each product and service, identify customer(s)?
2. How well are you performing?
 - a. How do you know, i.e., what measures of effectiveness do you use to determine level of product and/or service success?
 - b. Provide metrics, if available and applicable, for most recent time period.
 - c. What other formal feedback mechanisms are in place? What are the results?
3. Are resources adequate (funding, manning, IT/IM, etc.)?
 - a. If not, specifically what do you require?
 - b. What is the impact of inadequate resources?

Specific Inspector Questions/Tasks Military Awards:

1. Describe your methods of publicly recognizing exceptional performance and devotion to duty by assigned officer and enlisted personnel.

2. What is the number of enlisted/officer personnel receiving awards of the following?

	CY01	CY02
	(O/E)	(O/E)
FLOC:		
NA:		
NC:		
MM:		

3. Explain the process by which personal awards submitted to the CO and higher authority are tracked and accounted for to completion.

4. The prompt recognition of exceptional performance is one of the most effective means of enhancing morale in an organization. What was the timeline for submission of the last three personal award recommendations following a specific achievement? What was the timeline for the last three End of Tour and/or Retirement awards? Were these awards presented to the individuals prior to their departure?

5. Which process steps, if any, contribute to delays in processing of award submitted to higher authority for approval?

6. Provide a recent sampling of OPNAV 1650/3s and award citations (3 examples).

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LE-3 CIVILIAN AWARDS

Command POC: N00CP DSN: 678-5280

Inspection Methodology: Self-Assessment (Respond fully after each of the following questions. To support assessment response, attach pertinent information, data, or work samples.)

Overall Assessment Questions/Tasks:

1. Why perform this function, program, or process?
 - a. If required by higher authority, cite references and describe why?
 - b. What is value to the organization and the Navy?
 - c. What would be the ramifications of its elimination?
 - d. Please identify products and/or services?
 - e. For each product and service, identify customer(s)?
2. How well are you performing?
 - a. How do you know, i.e., what measures of effectiveness do you use to determine level of product and/or service success?
 - b. Provide metrics, if available and applicable, for most recent time period.
 - c. What other formal feedback mechanisms are in place? What are the results?
3. Are resources adequate (funding, manning, IT/IM, etc.)?
 - a. If not, specifically what do you require?
 - b. What is the impact of inadequate resources?

Specific Inspector Questions/Tasks:

Ref: (a) SECNAVINST 12451.3
(b) COMNAVRESFORINST 12451.2

1. Do you have a copy of references (a) and (b)?
2. Does the command have its own civilian awards instruction?
 - a. Have supervisors been given a copy of the command instruction?
 - b. Have employees been given a copy of the command instruction?
3. What awards have been given to civilian employees?
 - a. On-the-Spot
 - b. Special Achievement
 - c. Time-Off
 - d. Quality Step Increases
 - e. Meritorious Civilian Service

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- f. Superior Civilian Service
 - g. Length of Service
 - h. Other
- 4. What is the command's policy on how often awards are given to employees?
 - 5. Who may nominate employees for awards?
 - 6. Are end of the performance rating cycle awards still used by the command?

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LE-4 Hotline/Congressional Investigations

Command POC: N002C DSN: 678-5079

Inspection Methodology: Self-Assessment (Respond fully after each of the following questions. To support assessment response, attach pertinent information, data, or work samples.)

Overall Assessment Questions/Tasks:

1. Why perform this function, program, or process at this Echelon IV level?
 - a. If required by higher authority, cite references and describe why?
 - b. What is the value to the organization and the Navy?
 - c. What would be the ramifications of its elimination?
 - d. Please identify products and/or services?
 - e. For each product and service, identify customer(s)?
2. How well are you performing?
 - a. How do you know, i.e., what measures of effectiveness do you use to determine level of product and/or service success?
 - b. Provide metrics, for most recent time period.
 - c. What other formal feedback mechanisms are in place? What are the results?
3. Are resources adequate (funding, manning, IT/IM, etc)?
 - a. If not, specifically what do you require?
 - b. What is the impact?

Specific Inspector Questions/Tasks:

1. Provide metrics, for most recent time period.
CY02 hotlines-
CY02 congressionals-
2. What other formal feedback mechanisms are in place? What are results?

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LE-5 Staff Personnel Management

Command POC: N002B DSN: 678-8070

Inspection Methodology: Self-Assessment (Respond fully after each of the following questions. To support assessment response, attach pertinent information, data, or work samples.)

Overall Assessment Questions/Tasks:

1. Why perform this function, program, or process at this Echelon IV level?
 - a. If required by higher authority, cite references and describe why?
 - b. What is the value to the organization and the Navy?
 - c. What would be the ramifications of its elimination?
 - d. Please identify products and/or services?
 - e. For each product and service, identify customer(s)?
2. How well are you performing?
 - a. How do you know, i.e., what measures of effectiveness do you use to determine level of product and/or service success?
 - b. Provide metrics, for most recent time period.
 - c. What other formal feedback mechanisms are in place? What are the results?
3. Are resources adequate (funding, manning, IT/IM, etc)?
 - a. If not, specifically what do you require?
 - b. What is the impact?

Specific Inspector Questions/Tasks:

1. Provide metrics, for most recent time period. XX FLOC, XX NAM, XX NC, XX MSM. Timely Fitness Reports (FITREPs)/Evaluations (EVALs).
2. Do you have adequate civilian personnel resources?
3. Are civilian awards being processed and presented in a timely manner?
4. Is there a process to examine the need to retool or modify with the changing role of the Naval Reserve?
5. Have all staff positions been evaluated for possible consolidation or conversion according to tasking and the need for continuity?
6. Are LORTARPs and EDVRs being submitted and reviewed for timely relief of personnel with minimal gapping of billets?
7. Are FITREPs and EVALs being submitted on time?
8. Is performance counseling being conducted per the BUPERSINST 1610.10?
9. What procedural changes in the management of staff personnel would you recommend?

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LE-6 Officer/Chief Petty Officer (CPO) Fitness Reports (FITREP)

Command POC: N01A DSN: 678-4003

Inspection Methodology: Self-Assessment (Respond fully after each of the following questions. To support assessment response, attach pertinent information, data, or work samples.)

Overall Assessment Questions/Tasks:

1. Why perform this function, program, or process at this Echelon IV level?
 - a. If required by higher authority, cite references and describe why?
 - b. What is the value to the organization and the Navy?
 - c. What would be the ramifications of its elimination?
 - d. Please identify products and/or services?
 - e. For each product and service, identify customer(s)?
2. How well are you performing?
 - a. How do you know, i.e., what measures of effectiveness do you use to determine level of product and/or service success?
 - b. Provide metrics, for most recent time period.
 - c. What other formal feedback mechanisms are in place? What are the results?
3. Are resources adequate (funding, manning, IT/IM, etc)?
 - a. If not, specifically what do you require?
 - b. What is the impact?

Specific Inspector Questions/Tasks:

1. Planned and scheduled counseling is a major focus of the Navy's performance evaluation system. Describe your policy to ensure that each Officer and CPO receives timely midterm counseling.
2. Explain the process by which members submit input to their FITREP.
3. Provide an explanation for any instances of late submission (more than 15 days after close of reporting period) of periodic FITREPs within the previous two years and more than 30 days for Reservists.
4. Describe any instances of FITREP rejection by NAVPERSCOM (Pers-311) during the past two years and provide the reason for the returned submission.
5. Explain what procedures are in place to ensure that adverse performance data (e.g., Physical Readiness Test (PRT) failure, Driving Under the Influence (DUI)/Drug conviction, etc.) are properly documented in FITREPs.
6. Describe your initiatives implemented to mentor junior officer personnel with regard to leadership development, career progression, etc.
7. What is your process used for ranking in peer groups?
 - a. Is a formal board convened to rank groups?
 - b. Does the process stand up to scrutiny and can be validated to the reporting senior?

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c. Are solid criteria established to help individuals know how to compete?

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LE-7 Enlisted Evaluations

Command POC: N01A DSN: 678-4003

Inspection Methodology: Self-Assessment (Respond fully after each of the following questions. To support assessment response, attach pertinent information, data, or work samples.)

Overall Assessment Questions/Tasks:

1. Why perform this function, program, or process at this Echelon IV level?
 - a. If required by higher authority, cite references and describe why?
 - b. What is the value to the organization and the Navy?
 - c. What would be the ramifications of its elimination?
 - d. Please identify products and/or services?
 - e. For each product and service, identify customer(s)?
2. How well are you performing?
 - a. How do you know, i.e., what measures of effectiveness do you use to determine level of product and/or service success?
 - b. Provide metrics, for most recent time period.
 - c. What other formal feedback mechanisms are in place? What are the results?
3. Are resources adequate (funding, manning, IT/IM, etc)?
 - a. If not, specifically what do you require?
 - b. What is the impact?

Specific Inspector Questions/Tasks:

1. Planned and scheduled counseling is a major focus of the Navy's performance evaluation system. Describe your policy to ensure that each member receives midterm counseling as scheduled per BUPERINST 1610.10.
2. The following items will be discussed/reviewed:
 - a. Explain the process by which members submit input to their evaluations.
 - b. Provide an explanation for any instances of late submission (more than 15 days after close of reporting period) of periodic evaluations within the previous two years and more than 30 days for Reservists.
 - c. Describe any instances of evaluations rejection by NAVPERSCOM (PERS-311) during the past two years and provide the reason for the returned submission.
 - d. Explain what procedures are in place to ensure that adverse performance data (e.g., PRT failure, DUI/Drug conviction, etc.) are properly documented in evaluations.
 - e. Describe your initiatives implemented to mentor junior enlisted personnel concerning leadership development, career progression, etc.

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- f. What process is used for peer grouping?
- g. Is a formal board convened?
- h. Does the process stand up to scrutiny and can be validated to the reporting senior?
- i. Are solid criteria established to help individuals know how to complete?
- j. Can you fairly evaluate your Sailors as per the current instruction?
- k. Describe positive and negative impacts.
- l. What are your feedback mechanisms?
- m. How are command copies maintained? How long are they maintained?

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LE-8 Drug and Alcohol Program Advisor (DAPA)

Command POC: N01A2 DSN: 678-1165

Inspection Methodology: Self-Assessment (Respond fully after each of the following questions. To support assessment response, attach pertinent information, data, or work samples.)

Overall Assessment Questions/Tasks:

1. Why perform this function, program, or process at the Echelon IV level?
 - a. If required by higher authority, cite references and describe why?
 - b. What is the value to the organization and the Navy?
 - c. What would be the ramifications of its elimination?
 - d. Please identify products and/or services?
 - e. For each product and service, identify customer(s)?
2. How well are you performing?
 - a. How do you know, i.e., what measures of effectiveness do you use to determine level of product and/or service success?
 - b. Provide metrics, for most recent time period.
 - c. What other formal feedback mechanisms are in place? What are the results?
3. Are resources adequate (funding, manning, IT/IM, etc)?
 - a. If not, specifically what do you require?
 - b. What is the impact?

Specific Inspector Questions/Tasks:

1. Is the DAPA a graduate of the DAPA course?
2. Does the assigned DAPA meet OPNAV requirements? If "NO", have waivers been issued?
3. Is the command DAPA and assistant designated in writing?
4. Does the DAPA maintain the appropriate Instructions?
 - a. OPNAVINST 5350.4C
 - b. Major Claimant Drug/Alcohol Instruction
 - c. Local Command Substance Abuse Instruction
 - d. Other DoD directives/instructions
5. Does the Command DAPA participate in the Indoctrination Program?
6. Is the DAPA free from direct involvement in the command's Urinalysis Program?
7. Does the DAPA provide command documentation for Counseling and Assistance Center (CAAC) screenings and medical evaluations?
8. Does the command DAPA maintain separate (individual) documentation files for all personnel administratively screened for drug or alcohol related incidents? Does each file contain a copy of the DAPA screening form and a Privacy Act statement?

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9. Is the DAPA in receipt of all the current Drug Abuse Program Advisories?
10. How many drug and alcohol related incidents has the command DAPA screened in the past 12 months? How many Drug and Alcohol Abuse Report (DAARs) have been submitted for the above incidents? How many of the incident personnel have been referred to CAAC or Medical for a screening?
11. Are DAARs submitted within 30 days of the referral or incident (Reserve units must submit initial DAARs within 90 days)?
12. Are applicable page 13 warning forms being used in cases of substance abusers?
13. Is the command complying with current policy regarding ADAMS attendance requirements? Are there sufficient qualified ADAMS facilitators assigned locally to comply with this requirement? How many facilitators are available? Are course completions documented in the ADMITS program?
14. Has GMT on Drug and Alcohol Abuse been conducted periodically? Has the training been documented in the ADMITS program?
15. Does the DAPA have access to the ADMITS program?
16. Does the DAPA receive copies of all positive Navy Drug Lab messages?
17. Is a final or close out DAAR submitted after administrative action(s) have been taken?
18. Is Pers-603 notified in writing of all cases determined by the Commanding Officer to be considered "No wrongful use?"
19. Does the DAPA teach the AWARE course? Is training documented in the ADMITS program?

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LE-9 Urinalysis Program Coordinator (UPC)

Command POC: N01A2 DSN: 678-1165

Inspection Methodology: Self-Assessment (Respond fully after each of the following questions. To support assessment response, attach pertinent information, data, or work samples.)

Overall Assessment Questions/Tasks:

1. Why perform this function, program, or process at the Echelon IV level?
 - a. If required by higher authority, cite references and describe why?
 - b. What is the value to the organization and the Navy?
 - c. What would be the ramifications of its elimination?
 - d. Please identify products and/or services?
 - e. For each product and service, identify customer(s)?
2. How well are you performing?
 - a. How do you know, i.e., what measures of effectiveness do you use to determine level of product and/or service success?
 - b. Provide metrics, for most recent time period.
 - d. What other formal feedback mechanisms are in place? What are the results?
3. Are resources adequate (funding, manning, IT/IM, etc)?
 - a. If not, specifically what do you require?
 - b. What is the impact?

Specific Inspector Questions/Tasks:

1. Is the urinalysis program coordinator designated in writing? Are all letters current, available, and on file?
2. Have they attended the Urinalysis Program Coordinators Course?
3. If using Navy Drug Screening Program (NDSP), have they attended the Navy Drug Screening Program Course?
4. Does the command urinalysis coordinator maintain current appropriate instructions?
 - a. OPNAVINST 5350.4
 - b. Major claimant Drug/Alcohol Instruction
 - c. Local command substance abuse instructions
 - d. Other DoD directives/instructions
 - e. Current edition Urinalysis Coordinators Handbook (10/01)
5. Is training conducted and documented for all urinalysis collection assistants and observers?
6. What are the means used for obtaining the Random Sample Selection Group?
7. Is NDSP used? Is the current version being used?
8. How often does the command conduct Random Urinalysis Testing?

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9. Does the Urinalysis Program Coordinator maintain a ledger documenting all test specimens?
10. Are tight chain of custody procedures followed to protect urine samples from tampering before they are delivered to Navy Drug Screening Laboratories?
11. Are all uncollected samples documented and given a reason for no collection?
12. Is the command UPC an E6 or above?
13. Are all command personnel entered into the NDSP program? Including Drilling Reservists?
14. Are the past 36 months of ledgers, DD-2624 forms and messages on file?
15. Date of last unit sweep?
16. Has the command met the 10 percent (per month) testing compliance?
17. Are observers trained and the training documented?
18. Are all lab discrepancies researched and resolved before submission?